5 ~~creating data files in the main server database corresponding to the entered trade data;~~

~~monitoring modifications made to the entered trade data residing in the respective~~

~~data files; and~~

~~reporting said modifications made to the trade data in a display generated by the data~~

~~processing system.~~

Please add the following new claims 28-48:

28. (New) A data processing system for managing broker transaction information in compliance with governmental regulations, comprising:

(a) computer processor means for processing data;

(b) storage means for storing said data on a storage medium, said storage means

5 including a main server database for storing data in the system;

(c) communication means for transmitting and receiving data in a secure environment to and from various remote locations, said communication means further including a transmission control protocol listener for facilitating communications, and for monitoring and updating the main server database and further wherein the transmission

10 control protocol listener accepts data entry requests from users to store and retrieve data on the main server database;

(d) first computer software means for creating trade data concerning a particular trade in the form of a trade record;

(e)   second computer software means for reviewing said trade data, and

15   for approving/disapproving of the trade record; and

(f)   third computer software means for maintaining security measures for

said data processing system to prevent unauthorized access and use of said data.

29.   (New) A data processing system, as claimed in claim 28, wherein said first

computer software means further comprises:

means for inputting and storing on said storage means system information.

30.   (New) A data processing system, as claimed in claim 28, further comprising:

means for monitoring the modification of trade data in respective trade records which

are created by said first computer software means.

31.   (New) A data processing system, as claimed in claim 28, further including:

means for monitoring log-ins to said data processing system.

32.   (New) A data processing system, as claimed in claim 28, further comprising:

means for monitoring the activity of a particular broker representative who enters

trade data through said first computer software means.

33.   (New) A data processing system, as claimed in claim 28, further including:

means for outputting information regarding a particular trade.

34.   (New) A data processing system, as claimed in claim 28, further including:

means for creating and outputting daily trade blotter information.

35.   (New) A data processing system, as claimed in claim 28, further including:

means for creating and outputting checks/securities blotters.

36.   (New) A data processing system, as claimed in claim 28, further including:

means for creating and outputting buy and sell tickets.

37.   (New) A data processing system, as claimed in claim 28, further including:

means for creating and outputting client activity logs.

38.   (New) A method of managing and processing broker transaction data

comprising the steps of:

providing a data processing system comprising a computer processor means for

processing data, a storage means for storing said data on a storage medium, communication

5   means for transmitting and receiving data in a secure environment to and from various

remote locations, a first computer software means for creating trade data concerning a

particular trade in the form of a trade record, a second computer software means for

reviewing said trade data and for approving/disapproving of the trade record, and third

computer software means for maintaining security measures for the data processing system

10   to prevent unauthorized access in use of the trade data;

entering and recording the trade data into a main server database of the storage

means;

creating data files in the main server database corresponding to the entered trade data;

monitoring modifications made to the entered trade data residing in the respective

15   data files; and

reporting the modifications made to the trade data in a display generated by the data

processing system.

39.   (New) A method, as claimed in claim 38, further including the step of:

transmitting data within the data processing system by secure transmission means.

40.   (New) A method of managing and processing broker transaction data, said

method comprising the steps of:

providing a data processing system including a computer processor means for

processing data, storage means including a main server database for storing said data on a

5   storage medium, and communication means for electronically transmitting and receiving data

in a secure environment to and from various remote locations;

inputting broker transaction data on a remote computer of the data processing system reflective of a trade of a security;

forwarding the broker transaction data to a main computer communicating with the

10   main server database;

recording the transaction data on the main server database in the form of an original

trade record;

forwarding the original trade record to a second remote computer for review to include approval/rejection of the original trade record by a user of the second computer;

15   returning the original trade record to the main server database including an indication

of the approval/rejection by the user of the second computer;

returning the approved/rejected original trade record to the first computer for

evaluation by the user of the first computer; and

wherein said transaction data and said trade record are manipulated electronically.

41.   (New) A method, as claimed in claim 40, wherein:

transfer of the transaction data and the trade record is conducted in a secure

environment by encryption and decryption.

42.   (New) A method, as claimed in claim 40, further including the step of:

changing an element of data on the original trade record;

recording the change of data in the original trade record; and

creating a display in the form of a comparative report showing the original trade

5   record, and the original trade record as amended with the changed data element.

43.   (New) A method, as claimed in claim 40, further including the step of:

creating an output reflective of the managing and processing of the broker transaction

data wherein said output is in the form of a desired report.

44.   (New) A method, as claimed in claim 40, further including the steps of:

managing a plurality of trade records by said inputting, forwarding, recording, second

forwarding, returning, and second returning steps; and

creating an output reflective of the plurality of trade records in the form of a desired

5   report.

45.   (New) A method, as claimed in claim 40, wherein said desired report is a

daily trade blotter.

46.   (New) A method, as claimed in claim 40, wherein:

said desired report is a check/securities received blotter.